

Responsible Office: Code JX/Facilities Engineering Division  
Subject: Construction of Facilities Budget Formulation and Execution Process



## **Office of Management Systems**

### **Office Work Instruction**

# **Construction of Facilities Budget Formulation and Execution**

Original Approved by: \_\_\_\_\_

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## DOCUMENT HISTORY LOG

<u>Status</u> ( <u>Baseline/</u> <u>Revision/</u> <u>Canceled</u> )	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		12/6/99	
Revision	A	04/26/00	Incorporate minor modifications responsive to the NASA HQ ISO 9001 pre-assessment of Feb. 7 – 11, 2000.
Revision	B	10/31/00	Change Minimum Retention for Resources Authority Warrants (506's) to conform with NPG 1441.1, Schedule 7.

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## **1.0 Purpose**

The purpose of this procedure is to document the process used by the Office of Management Systems (Code J) to formulate and execute the budget for the Construction of Facilities (CoF) program.

## **2.0 Scope and Applicability**

### **2.1 Scope**

This Office Work Instruction (OWI) covers the annual process of formulating and controlling the execution of the NASA budget for the CoF program in support of the Enterprises including discrete and minor program projects.

### **2.2 Applicability**

This instruction applies to Code J personnel involved in formulating, approving and executing the CoF program. The Facilities Engineering Division (Code JX) has lead responsibility for the formulation, coordination, review, approval and execution of the CoF annual budget. The Office of the Comptroller (Code B) has responsibility for management of the overall NASA budget. Code JX facilitates the compilation of the CoF budget requirements for the Enterprises. Code JX monitors and facilitates the execution of the CoF budget.

## **3.0 Definitions**

- 3.1 POP. The Program Operating Plan (i.e., the NASA budget plan).
- 3.2 Code JX. The Facilities Engineering Division, Office of Management Systems.
- 3.3 CFO. Chief Financial Officer, Code B (Office of the Chief Financial Officer).
- 3.4 FRB. Facilities Review Board. This board is made up of NASA Headquarters Deputy Associate Administrators from each Enterprise (Code, M, R, S, Y, and U), Code B and the Director, Facilities Engineering Division. The FRB reviews the consolidated CoF Budget and provides comments and recommendations to the Director of Code JX.
- 3.5 CoF. Construction of Facilities.
- 3.6 IFMS. Integrated Financial Management System. This is an electronic database system with access controlled by Code B. Members of the Resources Team in Code JX are allowed access by Code B.
- 3.7 AA. Associate Administrator.
- 3.8 SMC. Senior Management Council.

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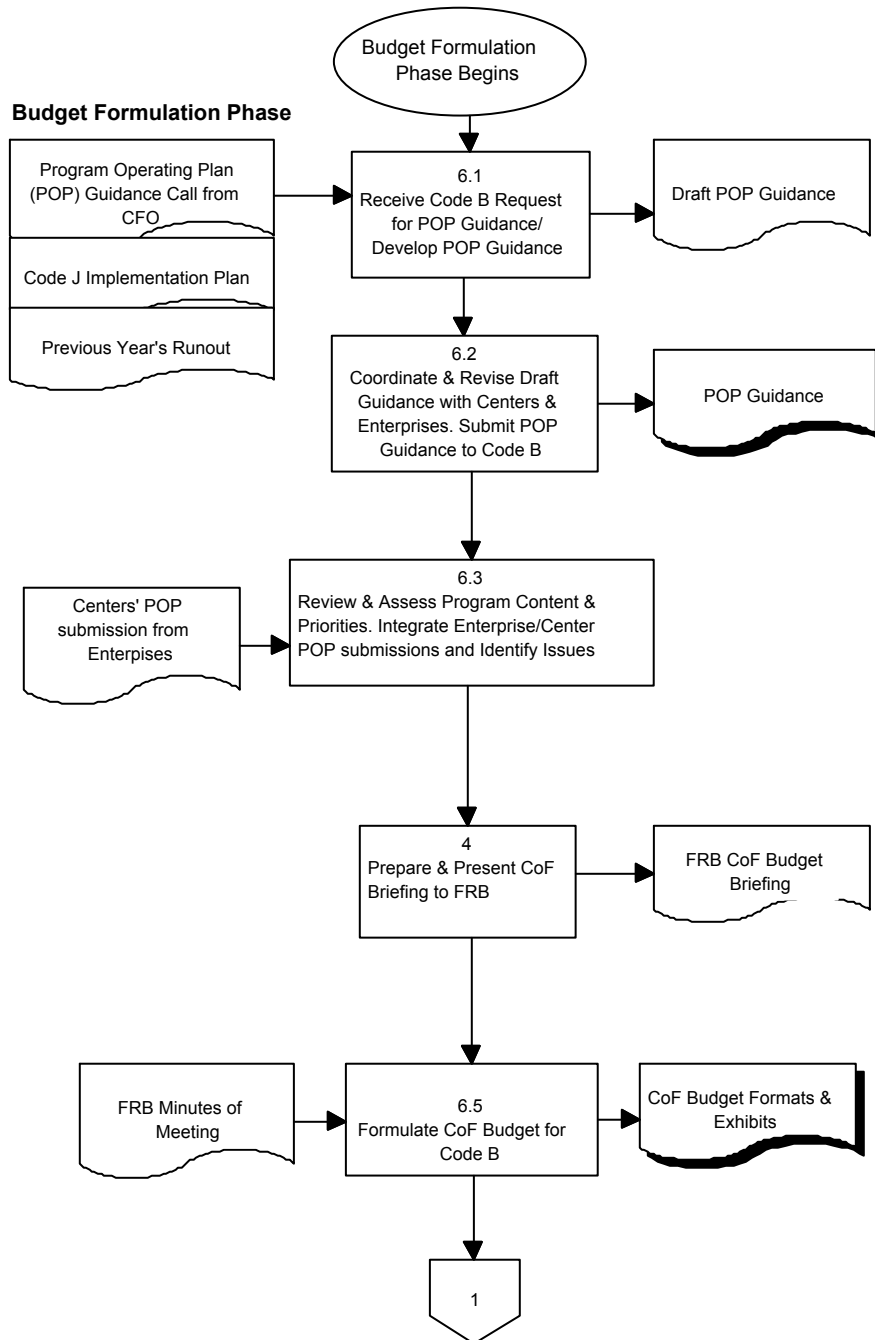
- 3.9 FO. Functional Office.
- 3.10 CIC. Capital Investment Council.
- 3.11 RT. Code JX Resources Team. Code JX staff provides leadership support for budget development and financial management in all facilities areas.
- 3.12 DCT. Code JX Design and Construction Team. The team works with RT personnel to develop the CoF budget. DCT then authorizes and approves projects in conformance with appropriation and authorization law and NASA regulations.
- 3.13 Director. Facilities Engineering Division Director, (Code JX)

#### 4.0 References

- 4.1 May 1998 Office of Management Systems, Functional/Staff Office Implementation Plan
- 4.2 NPD 7330.1 Delegation of Authority – Approval for Facility Projects
- 4.3 NPD 8820.1 Design and Construction of Facilities

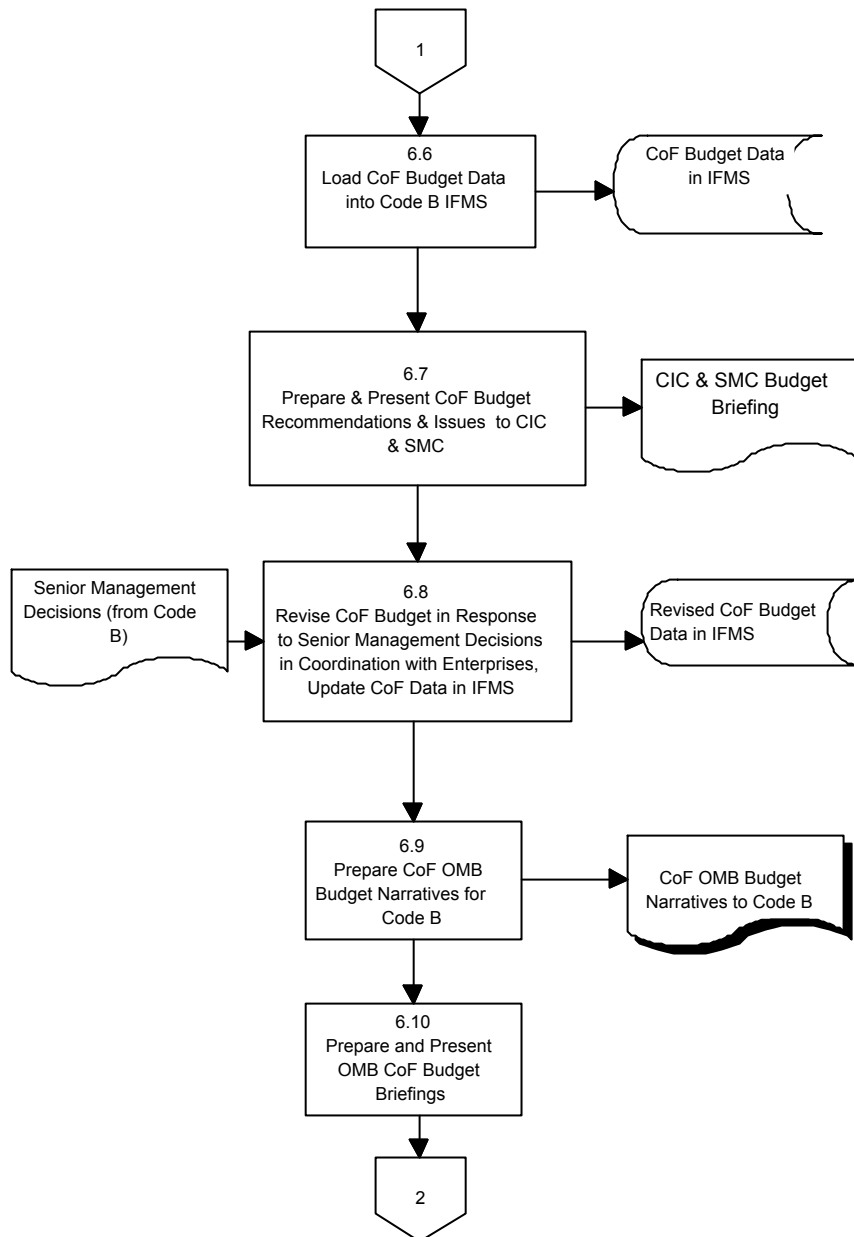
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## 5. Flowchart



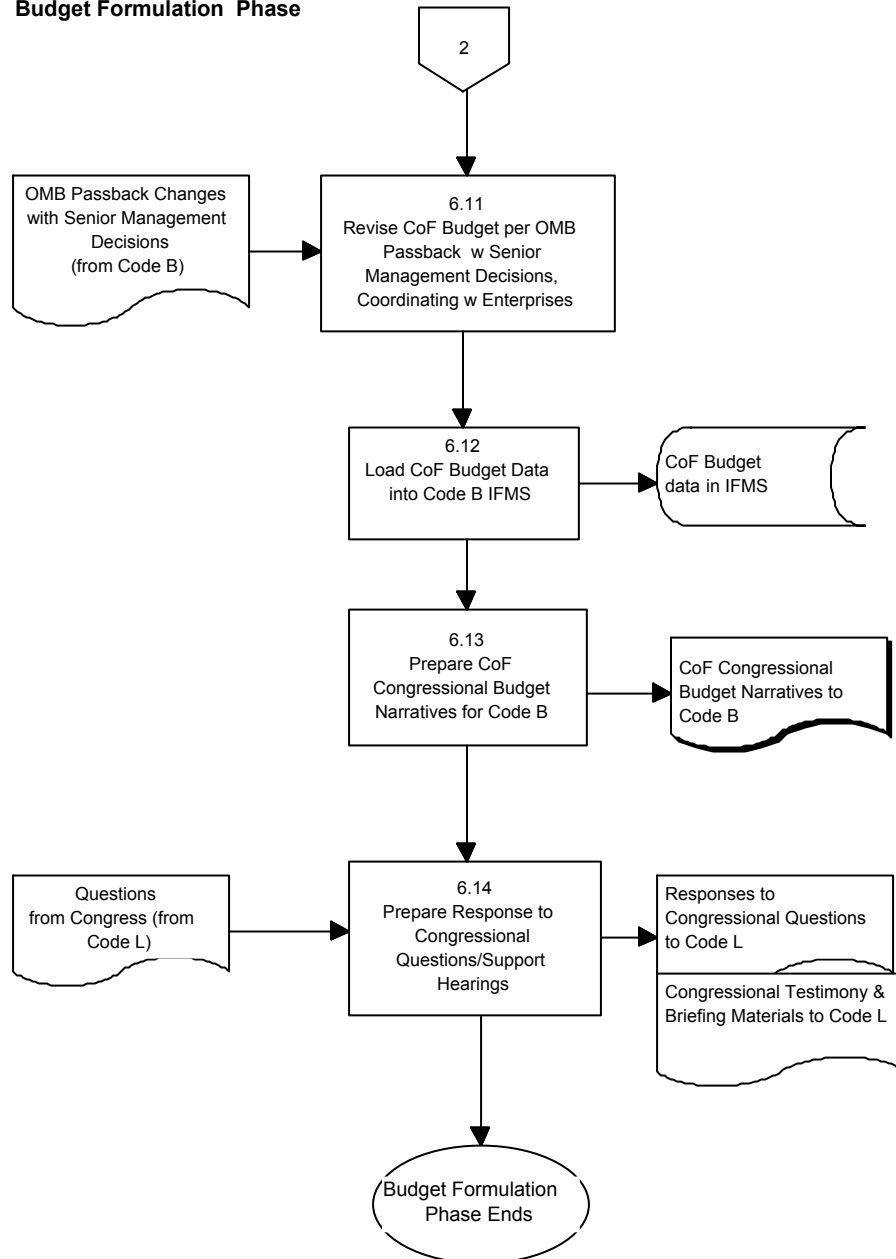
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### Budget Formulation Phase

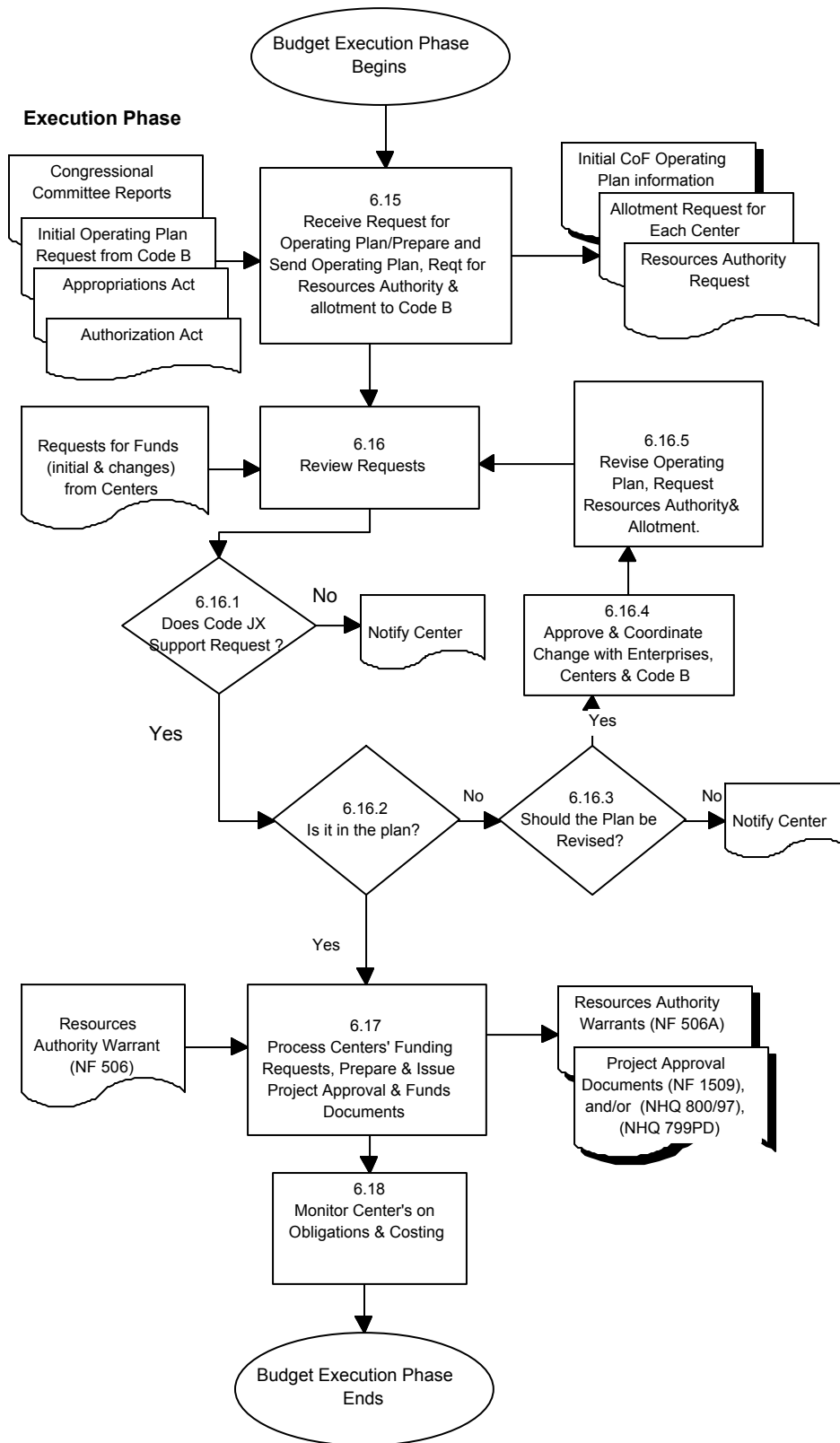


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Budget Formulation Phase



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## 6. Procedure

Step	Actionee	Action
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### Budget Formulation Phase

6.1	RT/DCT	RT receives Code B request for Guidance to develop POP. RT, in accordance with instructions received from CFO, provides guidelines to the DCT using the previous year's runout as a starting point. DCT drafts guidance for the CoF program consistent with the Code J Implementation Plan and functional metrics (CoF, Maintenance, and Real Estate).
6.2	DCT/RT/Director	DCT coordinates draft POP guidance with NASA Centers and Enterprises. RT finalizes the CoF POP guidance that provides funding targets and program guidance for the CoF Program by Enterprise and Center. The CoF guidance is approved by the Director. RT submits it to Code B for inclusion into the Agency POP guidance. The POP guidance describes data requirements and formats.
6.3	DCT/RT	DCT reviews and assesses program content and priorities; identifies issues in the program; and coordinates their findings with the Enterprises. RT integrates the Enterprises/Centers POP submissions into a single Agencywide CoF program. The purpose is to develop program and budget recommendations to assist each Enterprise in the formulation of its budget and to provide the CFO with an overall assessment of the CoF program.
6.4	RT/DCT/Director	DCT and RT prepare charts for the FRB budget briefing that discusses the proposed CoF program as developed in step 6.3 above. The Director presents this briefing to the FRB, touching on such topics as current status of the CoF program, issues identified in step 6.3, conclusions and recommendations on formulating the budget. FRB members discuss the conclusions and recommendations. Minutes of the FRB meeting are prepared by the DCT Team Leader, signed by the Director, and distributed to FRB members.
6.5	RT/DCT/Director	RT formulates a consolidated CoF budget consisting of budget formats and exhibits required by Code B. Results from the FRB meeting are reflected in the CoF budget. The Director approves the budget and the RT submits the formats and exhibits to Code B.
6.6	RT	RT enters the CoF Budget data into the IFMS.
6.7	DCT & RT, AA or Director	DCT and RT prepare charts for the CIC and SMC budget briefings that describe the assumptions, assessments, issues, and concerns associated with the proposed CoF program developed in step 6.5 above. The AA or Director presents these briefings to the CIC and SMC.
6.8	RT/DCT	RT revises CoF Budget, with input from the DCT, in accordance with decisions from the CIC and SMC (Normally Code B provides a summary of SMC decisions to each Enterprise and FSO.) DCT coordinates changes with the Enterprises and then RT updates IFMS.
6.9	DCT/RT/Director	RT prepares CoF OMB Budget narratives and coordinates them with DCT. Director approves the narratives and then RT submits them to Code B.
6.10	DCT/RT/Director, AA	DCT and RT prepare charts for the CoF program budget briefing to OMB. The AA or Director presents the briefing to OMB.

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6.11	RT/DCT	RT revises the CoF budget, with input from the DCT, in accordance with the OMB Passback guidance. This guidance is provided (verbal, e-mail, etc.) by Code B and reflects NASA's Senior Management decisions regarding guidance provided in the OMB Passback. DCT coordinates changes with the Enterprises.
6.12	RT	RT updates IFMS to reflect OMB Passback decisions.
6.13	RT/DCT/Director	DCT provides narrative project descriptions to RT which in turn prepares CoF Congressional Budget narratives. Director approves the budget narratives. RT submits them to Code B to be incorporated into the Agency's Congressional Budget Submission.
6.14	RT/DCT/Director/AA	RT, DCT, Director, and AA are all involved in preparing responses to Congressional questions and supporting Congressional Hearings handled by Code L (Legislative Liaison). The form and scope of the Congressional request will determine the role each of the actionees has in the process.

### Budget Execution Phase

6.15	DCT/RT/Director	DCT and RT review Appropriation Act, Authorization Act, Congressional Committee reports, and Initial Operating Plan request from Code B. DCT coordinates program changes with the Enterprises. RT prepares the CoF Initial Operating Plan for Director's approval. RT submits CoF Initial Operating plan and requests CoF Resources Authority and Allotments to Code B.
6.16	DCT/RT	DCT reviews Centers' funding requests (initial and changes) for technical merit, urgency of request and appropriate use of CoF resources. RT verifies that resources are available.
6.16.1	DCT/RT/Director	DCT reviews each Center's request to determine if Code JX should support the request for resources; if yes, continue to 6.16.2; if not, notify the Center.
6.16.2	RT	RT determines whether the project is included in the CoF Operating Plan and funds are available. If yes, go to 6.17; if not, go to 6.16.3.
6.16.3	DCT/RT	DCT and RT determine whether the plan should be revised to accommodate the funding request based upon urgency of requirement and impact to the Agency's mission. If yes, go to 6.16.4; if not DCT notifies requesting Center that their request has been denied.
6.16.4	Director/DCT/RT	Director approves the change and the DCT coordinates the change with appropriate Enterprise(s)/Center(s); and RT coordinates with Code B.
6.16.5	RT	RT revises the operating plan to reflect the funding request and submits it to Code B for approval. Adjustments for Resources Authority and Allotments are requested as necessary. Return to step 6.16.
6.17	RT/DCT/Director	RT prepares project approval document(s) (NF 1509, NHQ 799PD, and/or NHQ 800) and Resources Authority Warrant(s) (NF 506A). DCT coordinates funding documents with Enterprises. Director or delegated designee signs funding documents and RT releases documents to Code B and the Centers.
6.18	DCT/RT/Director	DCT and RT monitor Centers' on their obligations, costing and actual progress on design and construction. Director is kept informed on an exception basis.

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## 7. Quality Records

<u>Record ID</u>	<u>Owner</u>	<u>Location</u>	<u>Record Media</u>	<u>NPG 1441.1 Schedule and Item Number</u>	<u>Retention/Disposition</u>
POP Guidance	RT	RT Files	Hard Copy	Schedule 7, Item 22	Destroy When 5 Years old.
CoF Budget Formats & Exhibits	RT	Resource Team Files	Hardcopy	Schedule 7, Item 21F	Destroy 1 year after the close of the Fiscal Year covered by the budget.
CoF OMB Budget Narratives	RT	Resource Team Files	Hardcopy	Schedule 7, Item 21F	Destroy 1 year after the close of the Fiscal Year covered by the budget.
CoF Congressional Budget Narratives	RT	Resource Team Files	Hardcopy	Schedule 7, Item 21F	Destroy 1 year after the close of the Fiscal Year covered by the budget.
Initial CoF Operating Plan	RT	Resource Team Files	Hardcopy	Schedule 7, Item 21F	Destroy 1 year after the close of the Fiscal Year covered by the budget.
Resources Authority Warrant (NF 506A)	RT	Resource Team Files	Hardcopy	Schedule 7, Item 24A	Minor Program Projects: Close the account at the end of the fifth fiscal year after the period of availability for obligation ends. Records may be retired to FRC or approved storage facility one year after account closes. Destroy 5 years after fiscal year in which account(s) is closed.  Discrete Projects: Records may be retired to FRC or approved storage facility one year after fiscal year in which account(s) is closed. Destroy records 5 years after fiscal year in which account(s) is closed.
Facility Project-Brief Project Document (NF 1509)	RT	Resource Team Files	Hardcopy	Schedule 7, Item 10A	Permanent, retire files by FY to FRC when no longer needed for active reference or when 8 years old, whichever is sooner. Transfer to NARA when 25 years old.
Facility Planning and Design Approval (NHQ 799PD)	RT	Resource Team Files	Hardcopy	Schedule 7, Item 10A	Permanent, retire files by FY to FRC when no longer needed for active reference or when 8 years old, whichever is sooner. Transfer to NARA when 25 years old.
Minor Facility Projects, Summary Brief Project Document (NHQ 800/97)	RT	Resource Team Files	Hardcopy	Schedule 7, Item 10A	Permanent, retire files by FY to FRC when no longer needed for active reference or when 8 years old, whichever is sooner. Transfer to NARA when 25 years old.